

**Kentucky Energy and Environment Cabinet  
Department for Energy Development and  
Independence**

**2013-2014 Coal Education  
Grant Program**

**Application Manual**

Prepared by:

Department for Energy Development and Independence  
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Energy and Environment Cabinet  
Department for Energy Development and Independence  
2013-2014 Coal Education  
Grant Program  
Application Manual

## **1. Overview**

The purpose of this Grant Program is to select and award grants to applicants who are Kentucky nonprofit entities or public or private post-secondary educational institutions having qualifications and experience in successfully conducting programs or activities for the purpose of public education in energy, with attention to coal-related issues.

Pursuant to KRS 132.020(5) a portion of the funding from the un-mined minerals tax collected each year shall be credited to the Department for Energy Development and Independence, Energy and Environment Cabinet (the Cabinet), for the purpose of public education of coal-related issues.

The successful applicants shall have qualifications in developing and implementing projects or programs relating to coal issues and its impacts on energy, our economy, and/or the environment. Applicants shall demonstrate the capacity to offer educational programs and/or outreach activities.

The Cabinet reserves the right to award multiple agreements to applicants conforming to the requirements of this Grant Program and in the best interest of the Commonwealth

The Cabinet encourages a broad range of innovative applications that focus on the importance of coal resources in Kentucky. Applicants may include one or more of the following topics in their applications:

- Coal education programs, materials and/or events directed toward education and awareness.

- Projects that advance in-depth understanding of coal operations, clean coal technologies, electricity production, and coal use and emission issues; as well as foster interest in the pursuit of energy-related science and economic careers at the post-secondary level.

## **2. Eligible Applicants**

The Cabinet seeks applications from Kentucky organizations involved in coal or energy education. Specifically, the following types of organizations are eligible:

- Post-secondary educational institutions (public and private);
- Non-profit organizations engaged in coal or energy education or advocacy.

Organizations may prepare and submit applications on behalf of client organizations (one or more). However, the client organization must include a letter of participation in the application package. The Department will only enter into an Agreement with the client organization.

An organization may submit multiple applications if it has the capability and expertise to do so.

### **3. Grant Program Funding**

In the approved 2012-14 biennial budget the Cabinet received funds for the Coal Education Grant Program. A portion of these funds will be awarded through the Grant Program in fiscal year 2013-2014. The Cabinet intends, but is not required, to award the Agreements to be effective on July 1, 2013.

The Cabinet reserves the right to award multiple agreements to applicants conforming to the requirements of this application and in the best interest of the Commonwealth.

### **4. Grant Application Timing and Delivery**

Grant applications are due in the Department for Energy Development and Independence (DEDI) office not later than 4:30 PM Eastern Time on Monday, March 18, 2013. Applications will not be accepted after that date and time. An exception will be that mailed applications received after March 18 will be accepted if they are postmarked **prior** to March 18. Grant Applications and three copies are to be mailed or delivered to:

Paul Brooks  
Energy and Environment Cabinet  
Department for Energy Development and Independence  
500 Mero Street  
Frankfort, KY 40601  
502-564-7192  
[paul.brooks@ky.gov](mailto:paul.brooks@ky.gov)

Electronic or facsimile applications will not be accepted. The application package must comprise **an original and three copies** of the complete application.

### **5. Grant Application Form and Content**

The Grant Application comprises:

- The Application Form (**Attachment 1**) which includes an Executive Summary of the project. The Executive Summary must describe the salient elements of the project's technical content and cost within a 1,200-word limit.

- A narrative for the project that describes the full technical and cost detail of the project. The project narrative should be no more than 25 pages, using Times New Roman 12 point font (excluding the executive summary). The narrative should include detailed discussion of energy education to be conducted in the specific legislated category listed in section 1 overview, including the goal(s) of the education program and the expected outcome of the program at the end of the program. The narrative should also include a discussion of the cost of the project, whether in lump-sum or phases, how the elements of cost specified in Attachment 2, Budget, relate to the goals of the project, and a cost-benefit analysis of the project.
- A discussion of the leveraged or matching funding that will be employed with the Cabinet's funds to implement the project. This discussion is a section within the narrative. The Cabinet uses the term "leverage funds" in the same context as matching funds, and for purposes of this application only cash contributions will be considered. Cash contributions will be evidenced by a letter of commitment.
- For purposes of including as match, applicants must monetize contributions, be they labor, real property, or service, and stipulate that the monetary equivalent is being utilized for the project. The same applies to donated equipment, land, or services. Indirect charges do not qualify as these are often a reflection of infrastructure costs and/or non-task support staff. Since these exist without the project, they are not considered match.
- A completed Detailed Budget (**Attachment 2**). Each item of the budget form is to be addressed; marked with zero if not applicable.

Each applicant is responsible for submitting all relevant, factual and correct information with the application to enable the evaluator(s) to afford each applicant the maximum score based on the available data submitted by the applicant.

## **6. Evaluation and Scoring of Grant Applications**

The Cabinet will conduct a comprehensive, fair and impartial evaluation of all applications and score the applications based on the following factors:

- Strength of the application in meeting the objectives of the Legislation (40 points) with consideration given to the following:
  - The applicability of the project and its goals to the category of coal education specified;

- The expected reach of the project in the target demographic and depth of understanding to be achieved within the traditional coal fields and the Commonwealth as a whole;
- The relevance of the project to the advancement of the goals outlined in the “Intelligent Energy Choices for Kentucky’s Future: Kentucky’s 7-Point Strategy for Energy Independence”  
<http://energy.ky.gov/resources/Pages/EnergyPlan.aspx>.
- Qualifications, Experience, Capabilities, and Scheduling (25 points)
  - Relevant experience with Coal Education;
  - Strength of team assembled for project (including commitment of key participants) as evidenced by letters of commitment or support; and
  - Schedule, milestones, and deliverables of project.
- Ability to leverage(match) funding to enhance overall project objectives (up to 15 points)
  - Funds leveraged as a percentage of project are scaled from zero points (zero match) to 15 points (match equal to or greater than 100% of funds requested) The table in Attachment 3 reflects how points will be prorated in relationship to the percent of leverage.
  - For purposes of evaluating and scoring the applications, only cash contributions will be considered as leverage (match).
- Reasonableness of budget – A budget, using at a minimum the budget categories listed in Attachment 2, must be provided, with justification for each expense category. Project budget will be evaluated and scored for reasonableness by comparing cost vs. benefits of the overall application (20 points).

| EVALUATION CRITERIA  | POINTS POSSIBLE  |
|--|------------------|
| <b>Strength of Project in Meeting objectives of the grant program)</b> | <b>40</b>        |
| <b>Qualifications, Experience, Capabilities, and Scheduling</b>        | <b>25</b>        |
| <b>Ability to Leverage Funding</b>                                     | <b>15</b>        |
| <b>Reasonableness of Budget</b>  | <b>20</b>        |
| <b>TOTAL POINTS POSSIBLE</b>   | <b>100POINTS</b> |

## **7. Grant Application Evaluation Process**

The Cabinet will evaluate the applications using the following process:

The Secretary will establish a grant review team consisting of DEDI employees and other knowledgeable Cabinet personnel, as appropriate.

After the close date, the review team will evaluate and score each application according to all criteria in the Application Manual, and rank the applications according to total score.

The top-scoring applications will be nominated for award.

The Secretary, Commissioner, and grant review team will convene and allocate available grant funding to top-scoring applications.

Funding will be awarded to top-scoring applications according to fund limitations and the merit of the applications. Applications may be partially funded based on an agreed revised scope and budget between the Applicant and the Department.

The Department will prepare an Agreement with awarded applicants.

## **8. General Information About the Grants**

Applicants are encouraged to submit written questions to Paul Brooks via email at paul.brooks@ky.gov. Oral questions will not be accepted at any time. The Cabinet will respond to salient questions in writing with a Questions and Answers compilation and post that document to the Cabinet's web site <http://energy.ky.gov>.

The Application Manual, Application, Detailed Budget form, and Questions and Answer compilation are posted to the Cabinet's web site: <http://energy.ky.gov> .

***It is the applicants' responsibility to ensure that copies of all information and forms have been obtained.***

The Cabinet will not disclose any portions of the applications prior to grant award to anyone outside the Energy and Environment Cabinet and the members of the evaluation committee. After a grant is awarded in whole or in part, the Department may duplicate, use, or disclose all application data submitted by Applicants in response to this Grant Program as a matter of public record. Although the Department recognizes the Applicant's possible interest in preserving selected data which may be part of an application, the Cabinet must treat such information as provided by the Kentucky Open Records Act, KRS 61.870 *et sequitur*.

Informational areas which normally might be considered proprietary will be limited to individual personnel data, customer references, selected financial data, formulae, and financial audits which, if disclosed, would permit an unfair advantage to competitors. If an application contains information in these areas that an Applicant declares proprietary in nature and not available for public disclosure, the Applicant must declare the inclusion of proprietary information and noticeably label as proprietary each sheet containing such information.

The Department may request additional information about any aspect of an application in order to better evaluate the project. This information request may take the form of a meeting. Any discussions of an applicant's project will pertain only to that application and not include information from or about any other application.

By signing the Application Form, the Applicant certifies that he/she along with any other officers, directors, owners, partners, employees, or agents is (are) not presently debarred, suspended, prosed for debarment, or declared ineligible for an award by any State or Federal agency.

The Cabinet may terminate and cancel this Grant Program at any time. In such a case, the Cabinet shall give the Applicant 30 days written notice.

If for any reason the funds from the 2012-2014 Biennial Budget become unavailable, the Cabinet may cancel the Agreement and not be obliged to make any payments under the Agreement after the termination date. The Cabinet shall provide 30 day's notice of any such termination.

All costs of the project are to be included in the Detailed Budget and described in the Narrative section of the Application. After the Agreement is executed, no additional expenses may be reimbursed. These include expenses for the applicant's fees, travel, and miscellaneous expenditures. All expense charges under the Agreement must be invoiced and be supported by documentation and receipts. Costs may not exceed the project budget. Any re-allocation of costs within the budget must receive prior written approval from the Cabinet.

**The Cabinet is not liable for social security contributions under 42 US Code, Section 418, with regard to compensation of any second party to the Grant Agreement.**

Prior to the implementation of any Agreement, the Applicant is required to reveal any final determination of a violation by the Applicant within the previous five years of the provisions of:

- KRS 136, relating to State sales and use tax;
- KRS 139, relating to corporate and utility tax;
- KRS 141, relating to income tax;
- KRS 337, relating to wage and hour laws;
- KRS 338, relating to occupational health and safety laws;
- KRS 341, relating to unemployment insurance laws; and
- KRS 342, relating to workers compensation insurance laws.

In addition, the Applicant must maintain continuous compliance with the provisions of those statutes which apply to the Applicant's operations. If the applicant fails to reveal a final determination as described above or fails to comply with the above statutes for the duration of the Agreement, the Department may cancel the grant.

**Discrimination (because of race, religion, color, national origin, sex, age, or disability) is prohibited.**

Projects may be multi-year in duration provided that there are annual milestones and deliverables specified within each year. The Cabinet may enter into agreements for multi-year projects. However, the Cabinet's funds are provided through the biennial budget, and the Cabinet cannot commit to funding beyond the budgeted biennium.

The Cabinet reserves the right to renew grant agreements for up to an additional two year term, upon expiration of the initial term.

## **9. Restrictions on Communication with Cabinet Staff**

The person named below shall be the sole point of contact throughout the application and award process. All communications (regular mail, express mail, electronic mail, or fax), concerning this application and award process must be addressed to:

Paul Brooks  
 Energy and Environment Cabinet  
 500 Mero Street, 12<sup>th</sup> Floor  
 Frankfort, KY 40601  
 502-564-7192  
 502-564-7484  
 paul.brooks@ky.gov

From the issue date of this Grant Program until Applicants are selected for award and the selection is announced, Applicants are not allowed to communicate with any



Cabinet Staff concerning this Application except the Contact cited in this manual. ***For violation of this provision, the Cabinet may reject the application of the Applicant.***

## **10. Form of Award**

Applicants whose projects are awarded funding will be required to enter into a Agreement with the Cabinet. Both parties shall sign the Agreement as binding.

The Agreement shall specify terms and conditions for reporting project performance and requesting reimbursement. Generally, payments are made on a reimbursable basis after receipt of an invoice with required documentation and a comprehensive progress report. A Department staff member will be assigned to oversee the project and approve the report and invoice for accuracy and completeness. The Department Project Manager will also meet with the project personnel periodically to be briefed on and discuss progress and results.

## **11. If funded, there are these stipulations:**

Payment of project expenses takes place on a reimbursement basis. The Applicants must make payments for work actually completed and then submit required invoice documentation to the Cabinet for payment. The Cabinet shall not pay project expenses for work that is performed prior to the start date in the executed. Applicants must not begin work before receiving notification that the Cabinet has approved the Agreement.

Grant funds may be used for indirect costs, but this is limited to 15% of the total grant award. An indirect rate shall not be charged toward agreement expenditures.

Projects may begin after the Applicant is notified by the Cabinet that the grant has been fully approved.

Project terms will be specified in the Agreement executed by both parties. Applicants must complete projects on or before the agreed term. Requests for no-cost extensions are discouraged. However, if requested, they will be evaluated on a case-by-case basis, with final review being conducted by the Cabinet Secretary.

Attachment 1 Application Form

Attachment 2 Detailed Budget Sheet

Attachment 3 Points for Percent of Leveraged Funds

## Attachment 1. Application Form



## Kentucky Energy and Environment Cabinet

Department for Energy Development & Independence

500 Mero Street, 12<sup>th</sup> Floor

Frankfort, Kentucky 40601

(502) 564-7192

### Coal Education 2013-2014 Grant Program Application

***This Application is available on-line at [energy.ky.gov](http://energy.ky.gov)***

Applicant Information – Please provide a description in the boxes below for each section

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#### Applicant Name:

Click here to enter text.

*(Organization that will enter into the Grant Agreement)*

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#### Applicant is a:

Educational Institution or System ☐

Non-Profit Organization ☐

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#### Mailing Address:

Click here to enter text.

**Contact Name:** Click here to enter text.  
text.

**Title:** Click here to enter

**Phone Number:** Click here to enter text.  
text.

**Email:** Click here to enter

**Organization Number:** Click here to enter text.  
enter text.

**Federal Employer** Click here to

*(issued by the Secretary of State's Office)*

**Identification Number (FEIN)**

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**Project Location – Where project is located or to be implemented**

**County:** [Click here to enter text.](#)

**City:** [Click here to enter text.](#)

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**Project Title:** [Click here to enter text.](#)

**Project Category:**

Coal education programs, materials and/or events directed toward education and awareness

Projects that advance in-depth understanding of coal operations, clean coal technologies, electricity production and use and emission issues as well as foster interest in the pursuit of energy-related science and economic careers at the post-secondary level.

**Executive Summary:** *(No more than 1200 words)*

[Click here to enter text.](#)

***Project Narrative (max. 25 pages) must be submitted as part of this application.***

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**Project Funding Summary**

|                        |   |  |
|------------------------|---|--|
| Grant Amount Requested | <a href="#">Click here to enter text.</a> | <a href="#">Click here to enter text.</a> % of total |
|------------------------|---|--|

|                  |   |  |
|------------------|---|--|
| Match (Leverage) | <a href="#">Click here to enter text.</a> | <a href="#">Click here to enter text.</a> % of total |
|------------------|---|--|

|                    |   |       |
|--------------------|---|-------|
| Total Project Cost | <a href="#">Click here to enter text.</a> | 100 % |
|--------------------|---|-------|

Provide a brief Cost-Benefit Description: (No more than 600 words)

[Click here to enter text.](#)

***Attachment 2, Detailed Budget Document must be submitted as part of this application.***

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**Applicant**

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**Authorized Signature**

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**Date**

---

**Printed Name**

---

**Printed Title**

**Partner (if applicable)**

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**Authorized Signature**

---

**Date**

---

**Printed Name**

---

**Printed Title**

When you have completed this form, print, sign, and make a copy for your records. Return the original and three copies to the address at the top of this application.

## Attachment 2. Detailed Budget

| BUDGET   |                |             |               |
|--|----------------|-------------|---------------|
| Additional Identification Information As Necessary   |                |             |               |
| The grant budget line-item amounts below shall be applicable only to expense incurred during the |                |             |               |
| Applicable Period: BEGIN: DATE      END: DATE  |                |             |               |
| OBJECT CLASS CATEGORY  | GRANT CONTRACT | MATCH       | TOTAL PROJECT |
| Personnel  | \$ -           | \$ -        | \$ -          |
| Fringe Benefits  | \$ -           | \$ -        | \$ -          |
| Travel   | \$ -           | \$ -        | \$ -          |
| Equipment  | \$ -           | \$ -        | \$ -          |
| Supplies   | \$ -           | \$ -        | \$ -          |
| Contractual  | \$ -           | \$ -        | \$ -          |
| Construction   | \$ -           | \$ -        | \$ -          |
| Other <sup>1</sup>   | \$ -           | \$ -        | \$ -          |
| Indirect Charges <sup>2</sup>  | \$ -           | \$ -        | \$ -          |
| <b>GRAND TOTAL</b>   | <b>\$ -</b>    | <b>\$ -</b> | <b>\$ -</b>   |

<sup>1</sup> Applicable detail follow s this page if line-item is funded.

<sup>2</sup> Indirect Charges are limited to 15% of direct charges. Contractual isn't included in direct charges.

### GRANT BUDGET LINE-ITEM DETAIL:

| OTHER   | AMOUNT |
|---|--------|
| Specific, Descriptive, Detail (Repeat Row As Necessary) | Amount |
| <b>TOTAL</b>  | Amount |

### Attachment 3. Points for Percent of Leveraged Funds

| <b>Scale of Evaluation Points for Matching Funds</b> |                          |
|--|--------------------------|
| <b>Matching Funds as % of Requested Funds</b>        | <b>Evaluation Points</b> |
| <b>0</b>   | <b>0</b>                 |
| <b>10</b>  | <b>1.5</b>               |
| <b>20</b>  | <b>3</b>                 |
| <b>30</b>  | <b>4.5</b>               |
| <b>40</b>  | <b>6</b>                 |
| <b>50</b>  | <b>7.5</b>               |
| <b>60</b>  | <b>9</b>                 |
| <b>70</b>  | <b>10.5</b>              |
| <b>80</b>  | <b>12</b>                |
| <b>90</b>  | <b>13.5</b>              |
| <b>100</b>   | <b>15</b>                |